
 Substitute Form PTO-1449
 (Modified)

 U.S. Department of Commerce
 Patent and Trademark Office

 Attorney's Docket No.
 09857-030001

 Application No.
 09/404,518

**Information Disclosure Statement
 by Applicant**

(Use several sheets if necessary)

 Applicant
 Peter Martyn et al.

 Filing Date
 September 23, 1999

 Group Art Unit
 3628

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

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Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
<i>JH</i>	AQ	"Self-Regulatory Organizations: Notice of Filing of Amendment No. 1 to a Proposed Rule Change by National Association of Securities Dealers, Inc., Relating to an Integrated Order Delivery and Execution System", Federal Register – Securities and Exchange Commission, Vol. 63, No. 48, March 12, 1998, pps. 12124-40, XP002171774 (198.17.75.65/fril/).
<i>SD</i>	AR	Smith, J.W., Selway, J.P., McCormick, T.D., "NASD Working Paper 98-01: The Nasdaq Stock Market: Historical Background and Current Operation", NASD Department of Economic Research, August 24, 1998, pps. 1-51, XP002171837 (www.academic.nasdaq.com/docs/wp98_01.pdf).
<i>DR</i>	AS	Domowitz, Ian: "A Taxonomy of Automated Trade Execution Systems", Journal of International Money and Finance, Vol. 12, 1993, pps. 607-631, XP001005633.



Examiner Signature


Date Considered

6/27/03

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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(37 CFR §1.98(b))			

Other Documents (include Author, Title, Date, and Place of Publication)		
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	AT	Reck, M. "Formally Specifying an Automated Trade Execution System", Journal of Systems and Software, June 1993, Vol. 21, No. 3, pps. 245-252, XP001000833
	AU	Picot, A., Bortenlanger, C., Rohrl, H., "The Evolution of Electronic Markets -- Observation of the Capital Market", 2 nd International Workshop on Electronic Markets, September 25-26, 1995, pps. 1-30, XP002171838 (www.businessmedia.org/netacademy/publications.nsf/all_pk/405).

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